



**THE UNITED STATES PATENT AND TRADEMARK OFFICE**

In re Application of: Lawrence P. Shields, et al. Group Art Unit: Not yet assigned  
Serial No.: 09/779,114 Examiner: Not yet assigned  
Filed: February 8, 2001 Docket No. 4797-28  
For: **SYSTEM AND METHOD FOR EXECUTION OF TRADES  
MADE PURSUANT TO STOCK OPTION AND PURCHASE  
PLANS**

55 Madison Avenue  
Morristown, NJ 07960  
September 7, 2001

Assistant Commissioner for Patents  
Box Assignments  
Washington, D.C. 20231

**STATEMENT UNDER 37 C.F.R. §3.73(b)**

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Sir or Madam:

UBS PaineWebber, a Delaware corporation, states that it is:

1. [ ☒ ] the assignee of the entire right, title, and interest; or
2. [ ☐ ] an assignee of an undivided part interest in the above-identified patent application by virtue of either:
  - A. [ ☐ ] an assignment from the inventor(s) of the patent application identified above.  
The assignment was recorded in the Patent and Trademark Office at Reel \_\_\_\_\_, Frame \_\_\_\_\_, or for which a copy thereof is attached.

OR

- B. [ ☐ ] a chain of title from the inventor(s), of the patent application identified above, to the current assignee as shown below:

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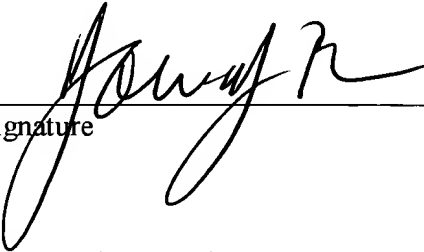
[       ] Additional documents in the chain of title are listed on a supplemental sheet.

[    ✓    ] Copies of assignments or other documents in the chain of title are attached.

The above-mentioned assignee hereby further states that it has all rights to take action in this matter.

The undersigned (whose title is supplied below) is empowered to sign this statement on behalf of the assignee.

Date: 9/10/01

  
\_\_\_\_\_  
Signature

John J. Burke  
\_\_\_\_\_  
Name

Associate General Counsel  
\_\_\_\_\_  
Title